

State Board for Registration of Architects

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
July 27, 2000**

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Functional and Organizational Analysis of State Board for Registration of Architects

Sources of Information

Representative of the State Board for Registration of Architects:

Cindy Gainey, administrator

Code of Alabama 1975, Sections 34-2-30 through 34-2-42.

Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)

Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Administrative Code, Chapters 100-X-1 through 100-X-2

Alabama Government Manual (1998)

Audit Report of the State Board for Registration of Architects

State Board for Registration of Architects Rules and Regulations (1999)

State Board for Registration of Architects Annual Report (1999)

State Board for Registration of Architects Newsletter (Summer 1999)

Government Records Division, State Board for Registration of Architects records retention schedules

Government Records Division, State Agency Files (1985-ongoing)

Agency Organization

The State Board for Registration of Architects is composed of six members appointed by the governor. Members are appointed from the following districts: one from the northern district, two from the north central district, two from the central district, and one from the southern district. Each board member must be a registered architect residing in a particular district. Members serve four-year terms of office. The board elects annually a chairman and a vice chairman. Meetings are held at least four times each year. A quorum consists of four members. The board hires an administrator to supervise the day-to-day operations of the board. An organizational chart is attached.

Historical Context

The board was established in 1931. The profession was not regulated prior to the creation of the board.

Agency Function and Subfunctions

The mandated function of the State Board for Registration of Architects is to examine, register, and regulate architects in the state. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the

State Board for Registration of Architects may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The State Board for Registration of Architects is authorized, under the Code of Alabama 1975, Section 34-2-39, to make and adopt by-laws, rules, and regulations setting minimum standards for professional conduct by architects. This subfunction encompasses the board's efforts in making, altering, repealing, or amending rules and regulations that are implemented to accomplish its duties and functions vested by law.
- **Registering.** The board is empowered, under the authority of the Code of Alabama, Section 34-2-33, to issue certificates of registration to qualified applicants as architects. An applicant for registration must graduate from a school/college of architecture accredited by the National Architectural Accrediting Board and complete a three-year internship under the supervision of a registered architect. Unless exempted, applicants must take and pass a written examination administered by the National Council of Architectural Registration Boards (NCARB). Once passed, the applicant is entitled to the certificate of registration issued by the board and may also apply for a certificate of registration issued by the National Council of Architectural Registration Boards. Each registered architect is required to complete a minimum of twelve (12) continuing education hours each year in order to renew the registration. Any registered architect who has allowed his/her registration to lapse for more than 90 days must complete a new application process for reinstatement.
- **Investigating Complaints or Violations.** The Code of Alabama 1975, Section 34-2-34 authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules or regulations. Depending on the findings following investigation and hearings, the board may dismiss the case, issue reprimands, levy fines, or suspend/revoke the certificate.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency including:

Managing the agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation

of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process; investing; and issuing bonds.

Managing human resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Completed: May 2000

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the State Board for Registration of Architects

Agency Record Keeping System

The board currently operates a hybrid record keeping system composed of paper, microfilm, and electronic records.

Paper-based Systems: Staff members create and maintain most of the board's records in paper form.

Micrographic System: The board contracted the Department of Industrial Relations to microfilm the Architect Registration Files created between 1931 and 1996. The microfilming project was terminated after 1996 because the board may implement a digital imaging system for its records in the future.

Computer Systems: The board has a Local Area Network (LAN) that runs a Microsoft Windows 98 operating system. There are two users on the LAN. Program databases are maintained in Access. Staff performs complete system backups on a weekly basis with incremental backups nightly. Backup tapes are rotated weekly and stored in a fireproof cabinet located in the office.

The board maintains a web site at <http://www.alarchbd.state.al.us>. Information available on the web site includes rules and regulations, code of conduct, examination/reciprocity/reinstatement procedures, the fee schedule, searchable roster database, and copies of board newsletters. All of the information is maintained also in paper format.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the State Board for Registration of Architects: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Intern Files.** As a part of the architect registration procedures set up by the National Council of Architectural Registration Boards (NCARB), an individual seeking to take the Architect Registration Examination must first complete the Intern Development Program (IDP). Intern Files are created when an individual begins participating in the IDP. After the completion of IDP, the applicant is eligible for the Architect Registration Examination. If the intern passes the examination, the files are transferred to the Architect Registration Files. Otherwise, files must be available for use to qualify the intern for the exam. The board keeps the files until the

intern is deceased.

- **Architect Registration Examinations.** The Architect Registration Examinations are designed by the National Council of Architectural Registration Boards (NCARB) for use by all of the fifty states in evaluating applicants' qualifications for registration as architects. Information on the results of the examination is recapitulated in the Architect Registration Files. In 1997, the examinations became computerized and hard copies of examinations are no longer given. The board only receives score sheets which are placed in the Architect Registration Files. Hard copies of previous examinations (created before 1997) should be kept four years for reference.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations:

- **Meeting Minutes of the Board.** Code of Alabama 1975, Section 34-2-40 mandates the board to hold at least four (4) regular meetings each year. These minutes document proceedings of the board meetings. (RDA page 3-2) (**Bibliographic Title: Meeting Minutes**)
- **Rules and Regulations.** The board publishes annually a booklet that contains the board's law, rules and regulations, and the code of professional conduct. The booklet provides the public with guidance and limitations governing the duties and responsibilities of the profession. (RDA page 3-2) (**Bibliographic Title: Rules and Regulations**)

Registering:

- **Architect Registration Database.** The board maintains the database for all architects who have registered since 1931. Information includes name, address, date of birth, education, last known employment, registration data, and disciplinary action (if any). The database is set up with full text search capability so that any information related to a registered architect can be retrieved. The database may be utilized / manipulated by people to conduct research in architecture related subjects. (RDA page 3-3)
- **Rosters of Registered Architects.** The board publishes annually a roster of registered architects and forwards a copy to the governor as required by the Code of Alabama 1975, Section 34-2-42. The roster contains Architect Registration Law, rules and regulations, code of professional conduct, board members and staff listing, listing of registered architects, and blank forms for change of address and report of possible violation. This series provides the public with a ready reference to the membership of registered architects in the state. The rosters may be used for genealogical research.(RDA page 3-3) (**Bibliographic Title: Annual Rosters**)

Investigating Complaints or Violations:

Records documenting this subfunction are found in the Architect Registration Database.

Administering Internal Operations:

- **Annual Reports.** The Code of Alabama 1975, Section 34-2-42 mandates the board to prepare and submit to the governor each year a report of its transactions for the preceding year. A copy of the annual report is sent to the secretary of state. Information on the report includes receipts (application fee, renewal fees, and fines) and disbursements (personnel, traveling, repairs and maintenance, rentals, utilities, professional services, supplies, and equipment). (RDA: page 3-3) **(Bibliographic Title: Annual Reports)**
- **Newsletters.** The board publishes occasional newsletters to serve as a communication tool between the board and individual registered architect. The newsletter may contain information on dates of upcoming board meetings, changes in rules and regulations, names of individuals who have passed the registration examination, disciplinary actions, and examination statistics. (RDA: page 3-3) **(Bibliographic Title: Newsletters)**

Completed: May 2000

Permanent Records List
Function: Regulatory
State Board for Registration of Architects

Promulgating Rules and Regulations:

1. Meeting Minutes
2. Rules and Regulations

Registering:

- *1. Architect Registration Database
2. Rosters of Registered Architects

Administering Internal Operations:

- *1. Annual Reports
2. Newsletters

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. (ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.)

State Board for Registration of Architects Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in conjunction with the staff of the State Board for Registration of Architects. The RDA lists records created and maintained by the State Board for Registration of Architects in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the State Board for Registration of Architects records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- The State Records Commission has determined that certain record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that

require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete;. (4) transitory records, which are temporary records created for short-term internal purposes that may include, *but are not limited to*: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the State Board for Registration of Architects and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Promulgating Rules and Regulations**

MEETING MINUTES OF THE STATE BOARD FOR REGISTRATION OF ARCHITECTS

Disposition: PERMANENT RECORD.

RULES AND REGULATIONS

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the tapes were created.

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Register of Administrative Procedures Rule Filings

Disposition: Retain in office (Code of Alabama 1975, Section 41-22-6)

■ **Registering**

ROSTERS OF REGISTERED ARCHITECTS

Disposition: PERMANENT RECORD.

ARCHITECT REGISTRATION DATABASE

Disposition: PERMANENT RECORD.

Intern Files/Database

Disposition: Temporary Record.

Files of interns who have passed the examination: Transfer to the Architect Registration Files.

Files of interns who have failed the examination: Retain 3 years after the end of the fiscal year in which the intern is deceased.

Architect Registration Files

Disposition: Temporary Record. Retain 15 years after the registered architect is deceased.

Architect Registration Examinations -- Hard Copies (records ceased as of 1997)

Disposition: Temporary Record. Retain 4 years after examination.

Annual Registration Renewal Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Quarterly Architect Examination Statistics

Disposition: Temporary Record. Retain for useful life.

■ **Investigating Complaints or Violations**

Investigation Files

Disposition: Temporary Record. Retain 15 years after the registered architect is deceased.

■ **Administering Internal Operations**

Managing the Agency:

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

NEWSLETTERS

Disposition: PERMANENT RECORD.

Board Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Legislative Files (drafts of proposed board-sponsored legislation)

Disposition: Temporary Record. Retain for useful life.

Legislative Tracking Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the board's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/ software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

Records documenting the preparation of a budget package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers - and funds deposited outside the state treasury.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Section 41-16-24)

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created..

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority

By signing this agreement the Board for Registration of Architects acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Board for Registration of Architects will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the board, for coordinating the transfer and destruction of records, for ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, for submitting an annual report on records management activities to the State Records Commission in July of each year, and for ensuring the regular implementation of the board's approved RDA.
- Permanent records in the Board for Registration of Architects' custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. In certain circumstances, the board may determine that a valid need exists to keep a record beyond its prescribed retention period. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Board for Registration of Architects agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Cynthia J. Gainey, Administrator
Board for Registration of Architects

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission